

**NATIONAL ARCHIVES
AND RECORDS ADMINISTRATION
INTERAGENCY AGREEMENT**

1.	Period of Agreement	
	Effective Date	Completion Date
	Project Period	10/1/00 9/30/01
	Budget Period	10/1/00 9/30/01

2. Agreement Number Amendment Number
NR01-0028

3. Type of Agreement
New Agreement

4. Name and Address of NARA Organization
**OFFICE OF REGIONAL RECORDS SERVICES
8601 ADELPHI ROAD (ROOM 3600)
COLLEGE PARK, MD 20740-6001**

5. Name and Address of Other Organization
Department of Energy
SO-312
19901 Germantown Road
Germantown, MD 20874-1290

6. NARA Project Officer (Name and Title)
**Michele L. Romero
Management Analyst**

7. Other Agency Project Officer (Name and Title)
Susan Frey
Departmental Records Officer

Telephone/Fax/E-mail
**Telephone: (301) 713-7210 Ext. 233
Fax: (301) 713-7205
E-Mail:michele.romero@arch2.nara.gov**

Telephone/Fax/E-mail
Tel: 301-903-3666
Fax: 301-903-4125
E-mail: susan.frey@hq.doe.gov

Address
See Block 4

Address
Same as block 5.

8. Project Title
Reimbursable Records Center Storage and Services

9. Purpose /Objective
See Attached Terms and Conditions

10. Responsibilities, Scope of Goods or Services to be Supplied by Performing Agency
See Attached Terms and Conditions

11. Responsibilities, Scope of Goods or Services to be Supplied by Ordering Agency
See Attached Terms and Conditions

CONTINUATION OF INTERAGENCY AGREEMENT

12. Special Provisions

TERMINATION PROCEDURES:

This agreement may be terminated by either Agency upon 90 days advance written notice.

All parties agree that revision or modification of the terms of this agreement may be made only with the consent of the authorizing officials of both agencies.

13. Estimated Costs

Amount: \$903,429.92

14. Billing Instructions

Payment Method

☒ OPAC

☐ Deduct from Advance

☐ GSA 789

☐ Credit Card

☐ Other

Billing Schedule

☐ Annual Advance

☐ Quarterly Advance

☐ Monthly Advance

☒ Monthly Actual

☐ Monthly Estimate

☐ Other

15. Billing Address (Include Agency Locator Code)

U.S. Department of Energy
Capital Accounting Center
P.O. Box 500
Germantown, MD 20874-1290
Attn: Geoffrey Smith 301-903-2729

Agency Locator Number (ALC): .89-00-0001

16. Accounting Classification - Cite the following accounting information on all documentation:

(Paying Agency will Indicate Appropriation /Accounting Coding to be Charged)

89X0242 Freeze code "HAN"

89X0243 Freeze code "EHS"

89X0228 All Others

NARA ACT Number (when applicable)
Not Applicable

17. Authority

Public Law 106-58

18. Approvals - Complete all that are required by agency procedures.

18a. Name and Title of NARA Financial Officer

ADRIENNE C. THOMAS

Assistant Archivist for

Administrative Services

Signature

Date

7-25-01

Adrienne C. Thomas

18b. Name and Title of Other Agency Financial Officer

GEOFFREY SMITH

Director, Accounting Division, Capital Accounting Center

Department of Energy

Signature

Date

Geoffrey W Smith 7/19/01

18c. Name and Title of NARA Authorizing Official

RICHARD L. CLAYPOOLE

Assistant Archivist for

Regional Records Services

Signature

Date

Gregory A. Pommiter 7/23

18d. Name and Title of Other Agency Authorizing Official

SUSAN L. FREY

Departmental Records Officer

Director, Records Management Division, DOE

Signature

Date

Susan L. Frey 7/19/01

TERMS AND CONDITIONS

I. PURPOSE

This agreement sets forth the terms and conditions under which the National Archives and Records Administration's (NARA) records centers shall store and service records which remain in the legal custody of the **Department of Energy**, hereafter referred to in this document as the customer agency. Terms in italics are defined in Attachment A to this agreement.

II. COVERAGE

This agreement shall become effective on October 1, 2000, and shall continue through September 30, 2001. This agreement covers customer *agency records* stored and serviced in NARA's records centers (including the Washington National Records Center and the National Personnel Records Center) where legal ownership of the records remains with the customer agency. In some instances, regional or local agreements may supersede or augment this agreement. This agreement shall be updated annually, but may be amended sooner if deemed necessary by NARA or the customer agency.

III. RECORDS CENTER SERVICES

A. Storage

1. NARA shall store records of the customer agency, which currently include Record Groups 201, 305, 326, 387, 388, 430, 434, and 447, in a safe and secure environment which meets the requirements outlined in 36 CFR part 1228.
2. Unless arrangements have been made with the customer agency, NARA shall store the customer agency's records in the NARA records center that is designated to serve the geographic area in which the records originated or were maintained by the customer agency. A directory which indicates the geographic areas served by each NARA records center can be found as Attachment B to this agreement.
3. [Reserved for specific agency storage requirements or locations]

B. Services

1. NARA shall provide the customer agency with the following baseline services:
 - a. Accessioning
 - (1) To initiate a retirement of records, the customer agency must submit a *Standard Form 135 (SF 135) Records Transmittal and Receipt*, to the appropriate NARA records center. (See Attachment B for addresses, phone numbers, names of contacts, e-mail addresses, and the geographic areas served by each center.) The SF 135 must be completed according to NARA instructions. Acceptable methods of transmittal include but are not limited to mail through the United States Postal Service, express delivery services, or fax. (If submitting the SF 135 via fax, the customer agency must ensure the SF 135 bearing the original signature of the transferring agency official in block 2, along with a photocopy, is placed in the box 1 of the *accession* when the records are shipped). Proposed transfers of *scheduled permanent*

and/or *unscheduled* records must include a detailed box listing attached to the *SF 135*. Additional guidance on transmitting *SFs 135* and preparing records for shipment is available from each NARA records center.

(2) NARA shall respond to *SFs 135*, either by approving the accession or initiating corrective action, within 10 business days of receipt.

(3) Once approval has been granted via the *SF 135*, the customer agency may ship the *accession(s)* to the appropriate NARA records center. Shipping methods include but are not limited to services provided by the United States Postal Service, express delivery services, or freight carriers. Additional guidance on labeling boxes and shipping records is available from each NARA records center. Some shipments may require providing advance notice to the NARA records center. Special arrangements for the shipping and handling of classified records may be made with the receiving NARA records center on a case-by-case basis. Shipping costs are the responsibility of the customer agency.

(4) If approved *accession(s)* are not received within 90 calendar days of approval of the *SF 135*, records center staff may contact the customer agency to determine the cause of the delay and recommend appropriate action.

(5) The customer agency shall maintain its own collection of *SFs 135* for all of the records it ships to NARA. However, each NARA records center shall maintain a comprehensive collection of *SFs 135* for the customer agency records in its holdings.

(6) *SFs 135* and extracts from automated reports shall be made available to the customer agency as needed. Each NARA records center shall provide the customer agency with up to ten photocopied pages per year of *SFs 135* free of charge, but may seek reimbursement for additional photocopies. NARA will generally provide extracts from automated reporting systems without requiring additional fees.

(7) The customer agency shall internally maintain a detailed box listing of, or index to, all records for each *accession* that is retired to a NARA records center. When practical, the customer agency shall provide NARA with a copy of this document by placing it in the first box of the *accession* to which it pertains. The copy provided to NARA shall serve as an off-site backup copy for the customer agency. As cited in item (1), proposed transfers of scheduled permanent or unscheduled records must include a detailed box listing attached to the *SF 135*.

b. Disposal

(1) Ninety calendar days prior to an *accession's* scheduled *disposal* date, NARA shall notify the customer agency by sending NA Form 13001 *Notice of Intent to Destroy Records* via certified mail to the customer agency's records officer or other designee in accordance with NARA Bulletin 99-03. It is the customer agency's responsibility to keep NARA informed of any address changes as they occur.

(2) Records shall be destroyed within 90 calendar days of eligibility, as determined by the applicable records disposition schedule and NARA receipt of written concurrence from the customer agency, whichever comes later.

(3) If NARA is unable to accomplish the *disposal* of the customer agency's records within 90 calendar days of their becoming eligible for *disposal*, the customer agency shall not be responsible for the storage costs of these disposable records beyond the initial 90 day period. If, however, any records are retained beyond the 90-day period at the request of or for the

benefit of the customer agency, including, but not limited to court-ordered freezes, normal storage charges shall continue to apply. Under circumstances where an ordered freeze has been lifted, NARA will negotiate with the customer agency to establish a reasonable time frame within which the disposal will be accomplished.

(4) NARA shall dispose of all temporary records in accordance with Federal regulations and as specified in the records schedule item cited on the disposal notice. NARA shall also ensure that access to the records is restricted throughout the *disposal* process. *Disposal* shall occur under contract with a wastepaper or other recycling company or by NARA.

(5) NARA shall provide *disposal* witnessing services when required by Federal regulations.

(6) NARA may require additional reimbursement from the customer agency for the *disposal* of non-textual media, textual records which contain a significant amount of non-textual material that must be removed prior to shredding (clips, binders, mylar, and other non-paper materials), or classified records. In such instances, NARA shall notify the customer agency in advance to amend this agreement to incorporate mutually agreeable terms to accomplish the additional workload.

(7) NARA shall follow the procedures established in the current NARA Information Security Manual and Executive Order 12958 - Classified National Security Information, for the disposition of security classified materials.

c. Transfer of Scheduled Permanent Records to the National Archives of the United States

(1) NARA will notify the customer agency when accessions become eligible for transfer to the National Archives of the United States (as determined by the applicable records schedule) by forwarding to the agency a SF 258, Agreement to Transfer Records to the National Archives of the United States.

(2) Records will be transferred to the National Archives of the United States (at NARA's expense) within 90 calendar days of return receipt by NARA of the SF 258, completed and signed by the customer agency.

d. Reference

(1) The customer agency may submit reference requests using an Optional Form 11 (OF-11) or other NARA approved forms. The preferred method of submitting reference requests is electronically through the Centers Information Processing System (CIPS). Other acceptable methods of transmittal include but are not limited to mail through the United States Postal Service, express delivery services, fax, agency courier, or telephone. Additional guidance on submitting reference requests is available from each NARA records center.

(2) When submitting reference requests, the customer agency shall provide the NARA records center with sufficient information to locate the records. Additional guidance on submitting reference requests is available from each NARA records center.

(3) *Routine reference* requests shall be serviced within one *business day* of receipt by the NARA records center.

(4) When servicing reference requests, NARA records center staff may annotate each requested folder with the *accession* number, box number, and NARA records center shelf location number. This will facilitate refiling the folder at a later date.

(5) NARA shall expedite reference service (same day or less than one *business day* turnaround) for *emergency reference* requests without imposing additional fees, provided emergency requests are infrequent and limited in number (as determined by the NARA records center servicing the requests). The determination that a reference request qualifies as an emergency shall be made solely by the customer agency, but if the customer agency designates a request as an emergency, they must be willing to pick up the requested items within one *business day* or pay for overnight delivery service. On an as-needed basis, NARA staff will accommodate the customer agency by reading portions of a file over the telephone or sending, via fax, certain portions of a file to the customer agency. If it is determined, at the local level by the NARA records center involved, that emergency requests are being submitted by the customer agency frequently and in large numbers, NARA may require additional reimbursement from the customer agency to accomplish the increased workload.

(6) NARA's baseline service charge includes shipping routine reference requests to the customer agency. Each NARA records center shall absorb the shipping costs associated with the customer agency recall of up to ten boxes of records per customer agency address per day.

(7) For requests that cannot be serviced without corrective action, NARA shall contact the customer agency to resolve the problem. The customer agency shall provide a point of contact with a current telephone number on all reference requests it submits to the NARA records centers.

(8) Upon request, NARA shall provide on-site office space at each of its NARA records centers for customer agency personnel or other authorized individuals to review any records it retired into NARA's holdings. Appointments may be required.

c. Refiles and Interfiles

(1) Acceptable methods of submitting *refiles* and *interfiles* include but are not limited to mail through the United States Postal Service, express delivery service, or courier. Special guidance for the shipping and handling of classified records may be obtained from each NARA records center.

(2) When submitting *refiles*, the customer agency shall ensure that the records being returned to the NARA records center for refiling remain in the same file folder that was previously recalled from the NARA records center. In these cases, the folder shall already be annotated with sufficient information to perform the refile (see paragraph III.B.1.d.(4) above). If the records to be *refiled* have been placed in new folders, the customer agency shall provide the NARA records center with sufficient information to perform the *refile*. Additional guidance on submitting *refiles* is available from each NARA records center.

(3) When submitting *interfiles*, the customer agency shall provide the NARA records center with sufficient information to perform the *interfile*. This information may be transmitted informally by attaching a paper transmittal to each document or set of documents to be *interfiled* in a specific folder. Additional information on submitting *interfiles* is available from each NARA records center.

(4) NARA shall *refile* records within five *business days* of receipt and *interfile* records within ten *business days* of receipt.

(5) For *refiles* and *interfiles* that cannot be serviced without corrective action, NARA shall contact the customer agency to resolve the problem. The customer agency shall provide a point of contact with a current telephone number with all *refiles* and *interfiles* it submits to

the NARA records centers.

f. Quality Assurance

(1) NARA shall continuously and thoroughly review its records center services to ensure that the highest quality service is being delivered.

(2) All reference requests that are determined by NARA staff to be unserviceable shall be reviewed by NARA within one business day of the initial search to determine the appropriate corrective action.

g. Customer Orientation Services

(1) On a semi-annual basis, each NARA records center shall offer at least one workshop highlighting services offered by the records center. Customer agency personnel may attend these workshops free of charge. These workshops will usually be conducted on the premises of a NARA records center.

(2) NARA shall continue to offer free *CIPS* training for customer agencies interested in using this system to submit reference requests electronically.

(3) NARA shall continue to distribute field bulletins and other technical reference materials to customer agency personnel free of charge.

2. Special Services [Reserved]

IV. LOCAL AGREEMENTS [Reserved. These agreements may be attached or referenced here. See also Article II. COVERAGE]

V. RATES - There are two cost components for which agencies shall be invoiced:

A. Storage - NARA shall charge the customer agency a rate equal to \$1.96 per year (approximately \$0.16 per month), per cubic foot for the storage of the customer agency's records. For billing purposes, NARA shall consider one standard NARA records center carton (14-3/4 x 12 x 9-1/2" NSN 8115-00-117-8249) to be the equivalent of one cubic foot.

B. Services - NARA shall charge the customer agency \$1.38 per year (approximately \$0.115 per month), per cubic foot for the servicing of records. For billing purposes, NARA shall consider one standard NARA records center carton (14-3/4 x 12 x 9-1/2" NSN 8115-00-117-8249) to be the equivalent of one cubic foot. This service charge covers all non-storage related costs including costs related to the *accessioning, disposal, permanent records transfer, referencing, refiling, and interfiling* of records.

C. Special Services [Reserved]

D. Adjustments - Rates may be adjusted or supplemental billings effected to reflect the actual costs of services provided.

VI. BILLING

A. NARA shall bill the customer agency on a monthly basis, unless otherwise negotiated and recorded in this agreement.

B. The storage charge component of the invoice shall be based on the total number of cubic feet that the customer agency has in NARA-provided storage on the last *business day* of each month, as reflected in the *NARS-5* inventory of the agency's holdings on that date. The monthly storage charge shall be computed by multiplying the holdings figure by the annual rent rate and dividing by twelve months.

C. The service charge component of the invoice shall be based on the total number of cubic feet that the customer agency has in NARA-provided storage on the last *business day* of each month. The monthly service charge shall be computed by multiplying the holdings figure by the annual service rate and dividing by twelve months.

D. NARA billings are processed by the General Service Administration. Requests for payment shall be made monthly via the On-line Payment and Collection (OPAC) system.

E. The NARA billing shall be supported by documentation which shall be forwarded to the address provided above. Questions regarding invoices should be directed to the customer agency's account representative at NARA. The account representative's name, address, telephone number, and e-mail address shall be provided on every invoice.

F. Payments are due upon receipt of invoice. If invoices are not paid within 30 days, NARA may impose additional fees to recover the costs associated with the delinquency.

VII. AUTHORITY

Public Law 106-58

VIII. APPROVALS

For NARA:

 7/23/2001
RICHARD L. CLAYPOOLE Date
Assistant Archivist for
Regional Records Services

 7-25-01
ADRIENNE C. THOMAS Date
Assistant Archivist for
Administrative Services

For Department of Energy:

SUSAN L. FREY Date
Departmental Records Officer
Director, Records Management Division
Office of the Chief Information Officer

Services Provided by NARA's Records Center Reimbursable Program

This document describes the services that NARA will provide in its reimbursable records center program.

BASELINE SERVICES

Baseline services are those services that NARA will provide to all agencies at all NARA records center facilities within the standard pricing structure.

I. Storage.

- A. NARA will provide storage in a safe and secure environment that meets the requirements of 36 CFR 1228.
- B. Unless other arrangements have been made with the customer agency, NARA will store the customer agency's records in the NARA records center that is designated to serve the geographic area in which the records originated or were maintained by the customer agency.

II. Service.

A. Accessioning.

- 1. To initiate a retirement of records, the customer agency must submit a Standard Form 135, Records Transmittal and Receipt. Acceptable methods of transmittal include mail through the United States Postal Service, express delivery services, or fax.
- 2. NARA will process SFs 135 (review the paperwork, verify disposal authorities and dates, assign space, assign accession number, and update our database). Centers also will correct minor deficiencies in the paperwork at no additional cost.
- 3. SFs 135 will be processed for return to the customer agency within 10 business days of receipt by NARA. SFs 135 that are submitted error-free by agencies will be completed faster.
- 4. If agencies have not shipped their accessions within 90 calendar days of NARA's approval of the SF 135, NARA will contact them to determine the cause of the delay and work out a mutually agreeable solution.

5. NARA will provide the customer agency with a reasonable number of copies of individual SFs 135 and extracts from automated reports at no additional charge. Requests for large amounts of such information (e.g., replacing an entire district office collection or an entire fiscal year's worth of SFs 135) may be subject to additional charges.

B. Disposal.

1. NARA will provide written notification to agencies when accessions become eligible for destruction.
2. Records shall be destroyed within 90 calendar days of eligibility (as determined by the applicable records disposition schedule and NARA receipt of written concurrence from the customer agency, whichever comes later). See Services Above Baseline Levels, part I, for the handling of high volume disposals of records retained beyond the original scheduled disposal date at the request of or for the benefit of the customer agency [e.g., frozen records].
3. NARA will dispose of records in accordance with Federal regulations, including the witnessing of disposal where required.

C. Transfer of Scheduled Permanent Records to the National Archives of the United States.

1. NARA will notify the customer agency when accessions become eligible for transfer to the National Archives of the United States (as determined by the applicable records schedule) by forwarding to the agency a SF 258, Agreement to Transfer Records to the National Archives of the United States.
2. Records will be transferred to the National Archives of the United States (at NARA's expense) within 90 calendar days of return receipt by NARA of the SF 258, completed and signed by the customer agency.

D. Reference.

1. Routine requests will be completed within one business day (24 hour service) of receipt.
2. NARA will accept reference requests via CIPS, fax, phone, mail, UPS, express delivery, agency courier, or e-mail.
3. Completed requests will be returned to the customer via USPS First Class service, UPS Ground Service, or any other means that may be more cost-effective within the same time frames. In instances where customers are willing to pay for overnight delivery, NARA will accommodate such requests by making the arrangements with Fedex.

4. NARA will pay for return shipments of up to ten boxes per customer agency address per day.
5. For requests that cannot be completed due to erroneous information on the request form, NARA will contact the customer to resolve the problem.
6. NARA will provide expedited reference service (same day or less than 24 hour turnaround service) on emergency requests within its baseline service charges, if the requests are infrequent and limited in number. In emergency situations, NARA staff will accommodate customer agencies by reading portions of the file over the telephone or sending, via fax, certain portions of the file to the agency.
7. NARA will provide on-site office space at each center for customer agency personnel or other authorized individuals to review the agency's records in that center's holdings and related SFs 135. Appointments may be required.

E. Refiles.

1. NARA will refile material returned to the records center.
2. Refiles will be returned to their file location within five business days of receipt. See Services Above Baseline Levels, part I, for the handling of high volume refiles.

F. Interfiles.

1. NARA will interfile documents with the files already accessioned.
2. If the volume sent is too large to fit into the proper container, NARA will work with the agency to try to solve the problem. Options that NARA will pursue include re-boxing the interfiles as part of the existing accession, having agency representatives visit the records center to work with NARA staff to create a new accession that includes the interfiles, and returning the interfiles for inclusion in a new accession. If the agency and NARA determine that the most practical approach is for NARA to return the interfile to the agency, it will be done at NARA expense.
3. Interfiles will be processed within 10 business days of receipt. See Services Above Baseline Levels, part I, for the handling of high volume interfiles.

G. Quality Assurance.

1. NARA will systematically audit its processes and performance to ensure that:
 - a. Correct documents/information are sent to requestors;

- b. Refiles are returned to the correct location;
 - c. Interfiles are interfiled with the correct folder/box; and
 - d. Disposals and permanent records transfers are accomplished in accordance with agency schedules and NARA policies.
- 2. All problem requests will be reviewed within one business day in order to determine if a second search is required.
 - 3. If NARA errs in sending the incorrect folder/box to an agency, the correct folder/box will be sent via Fedex to the customer agency at NARAs expense.

H. Customer Orientation Services.

NARA will offer free workshops on services provided by the records center operation and will distribute field bulletins and other technical reference materials free of charge.

SERVICES ABOVE BASELINE LEVELS

NARA will offer the following services for an additional fee above the baseline services charge:

I. Project Work.

Project work is identified as a separate and significant volume of holdings-related work which necessitates NARA dedicating special staff or additional time and resources to ensure its timely completion. Project work will be completed under a separate, negotiated agreement which will identify NARA costs and customer delivery expectations. These agreements will be handled either at the regional level, if they are site specific, or at the national level if they involve more than one region.

II. Emergency Requests.

NARA will provide expedited reference service (same day or less than 24 hour turnaround service) on emergency requests that are of a frequent, recurring, and/or substantial nature, within the time frames specified by the agency, for an additional fee.

III. Pack and Haul Services.

Pack and haul services for new accessions will be an option offered by each region.

IV. NARA Courier/Delivery Service.

The option of a NARA courier for pick-up and delivery of requests and completed reference work will be negotiated at the regional or facility level based on what level of service each region can offer.

V. Microfilm Service.

NARA will offer a variety of microfilm services on a reimbursable basis. If the records center in the customer agency's region does not offer microfilm services, the request will be forwarded to a region with a microfilm operation.

FUTURE EXPANDED SERVICES

It is NARA's goal to provide Federal agencies with outstanding records service assistance at the most economical cost possible. To that end, NARA staff will maintain a continuing dialogue with agencies to determine the level and type of services they desire, at a competitive price.

Attachment A - Definitions of terms used throughout this document.

Accession:	<p>(1) The process of moving records from the physical custody of the customer agency to the physical custody of a NARA records center. The process includes all operations involved in arranging the most efficient transfer of the records and in gaining knowledge about their contents. It also encompasses control over center shelf space and the maintenance of related documentation, such as bills of lading and required statistical data. The accession process is complete when the Standard Form 135 (Records Transmittal and Receipt) has been signed by record center officials and returned to the customer agency.</p> <p>(2) The term "accession" is also commonly used as a noun to describe a set of a records belonging to a single records series and sharing the same inclusive dates, which has been retired to a NARA records center as a unit through the process described above. It is at this level that records are tracked by NARA throughout the remainder of their life cycle. There is no limit on the maximum size of the unit, but at a minimum, it must always consist of at least one cubic foot of records. Some NARA records centers may request that the customer agency restrict the maximum size of their accessions to a predetermined level that is acceptable to both the customer agency and the NARA records center that will receive the accessions.</p>
Agency Records	<p>Federal records, as defined in 44 U.S.C. 330,1 that are stored in the NARA records centers while remaining in the legal custody of the customer agency. Included are the following types of records:</p> <ul style="list-style-type: none">a. Scheduled temporary records -- records described on a NARA-approved Standard Form 115 as having insufficient value to warrant their preservation in the National Archives of the United States;b. Scheduled permanent records -- records that have been determined by NARA to have sufficient value to warrant their preservation in the National Archives of the United States (Note: Reimbursable charges apply only so long as the records remain in the legal custody of the customer agency);c. Unscheduled records -- records which lack a NARA-approved disposition authority; andd. Vital records -- records that are needed to meet operational responsibilities in emergency conditions or to protect the legal and financial rights of the Government and its customers.

Business Day: The standard upon which NARA measures its turnaround time for providing services to the customer agency. It constitutes a consecutive 24 hour period which excludes weekends and Federal holidays. The NARA standard for servicing routine reference requests is cited in this agreement as being "within one business day of receipt." This means routine reference requests received by NARA on a Monday (not a holiday) will be serviced and in transit to the customer agency no later than the following day, Tuesday (not a holiday). Routine reference requests received on a Friday (not a holiday) will be serviced and in transit to the customer agency no later than the following Monday (not a holiday).

CIPS: The Centers Information Processing System (CIPS) is an electronic method of submitting reference requests to NARA records centers. System requirements include only a modem and a personal computer with communications software capable of emulating an IBM 3270 mainframe. Most customer agencies already have this equipment and can gain access to this system for little or no cost. NARA records center personnel provide free training and assistance for users of this system. This system is the most efficient way of submitting reference requests to NARA records centers because it eliminates the bottleneck on the front end of the work process, which leads to faster overall turnaround time. It also provides NARA records centers with the benefits of increased productivity in servicing the reference requests because it gives them the ability to electronically sort the requests by the shelf location of each requested item. A further benefit of using this system is that it can provide solid information to both NARA and customer agencies concerning actual general reference workload volumes. For information on how to acquire access to this system, customer agencies may contact their local NARA records center (Attachment B).

Disposal: (1) The process of removing records from the physical custody of a NARA records center and ensuring that they are efficiently destroyed in accordance with Federal regulations. The process includes all operations involved in verifying disposal authorities, calculating disposal dates, and notifying the customer agency in advance. Administrative functions include soliciting bids for the sale of wastepaper, administering contracts with private sector wastepaper or other recycling organizations, and maintaining required statistical data including a computerized history report documenting all disposal activity at the accession level. It also involves the physical removal of records from NARA records center shelves, the shipment of records to a disposal contractor, and, in some cases, the witnessing of the destruction.

(2) The term “disposal” is also commonly used as a noun to describe accessions that are eligible for destruction. Records become eligible for disposal in accordance with NARA approved records disposition schedules and on receipt by NARA of written concurrence from the customer agency.

Emergency Reference: This term refers to the same day servicing and immediate response (telephone, fax, or overnight shipping) of a customer agency’s reference request. The criteria for determining that a reference request requires emergency servicing will lie solely with the customer agency. If the customer agency requires overnight shipping of records, the customer agency will provide NARA with a Fedex or Express mail account number to which the charges will be billed.

Interfile: (1) The process of adding new documents to an existing folder that has already been retired to a NARA records center. The process requires the customer agency to provide the NARA records center with sufficient information to perform the interfile. At a minimum, this will include the accession number, box number, NARA records center shelf location number, and the folder name or number. This information may be transmitted informally by attaching a paper transmittal to each document or set of documents to be interfiled in a specific folder. Although it is not required, it is extremely beneficial to both NARA and the customer agency if the customer agency sorts large volumes of interfiles by the NARA records center shelf location number before submitting them to a NARA records center. This helps to keep NARA’s costs down and therefore enables NARA to pass the savings on to its customer agencies.

(2) The term “interfile” is also commonly used as a noun to describe a new document which a customer agency has submitted to NARA to be added to an existing folder that is already in NARA’s holdings.

NARS-5

The master database that includes information about the holdings of all NARA records centers. The database is updated each time an accession is retired to a NARA records center facility and each time an accession is removed from a NARA records center facility (for disposal, permanent withdrawal by the customer agency, or legal transfer to the National Archives of the United States). The NARS-5 master database is not updated to reflect temporary withdrawals of agency records, or permanent withdrawals of less than one cubic foot of agency records.

The database is necessary for the identification, control, and retrieval of all accessions. Automated reports from the NARS-5 master database are available to customer agencies in paper as well in a variety of electronic formats. In addition, invoices will be generated by querying the NARS-5 database to calculate the current holdings of a particular agency.

**Notice of Intent
to Destroy
Records (NA
Form 13001):**

Invoices will be generated by querying the NARS-5 master database file to calculate the current holdings of a particular agency. This notice shall be sent to an individual designated by the customer agency to alert them that an accession will soon be eligible for disposal. The notice will be sent 90 calendar days prior to the scheduled disposal date. In accordance with NARA policy and procedures, the records will be destroyed 90 days from the date of this notice or from receipt of the written concurrence of the agency having legal custody of the records, whichever comes later. The notice will instruct the customer agency official to annotate their SF 135 (all copies) to show that the records have been destroyed. If the customer agency official does not concur with the notice, they may request an extension of the retention period by providing a written justification (including a proposed new disposal date) to the director of the NARA records center provided on the notice.

Refile: (1) The process of returning folders that had previously been recalled from accessions in NARA records center holdings. The process includes placing the folders back into their original place within an accession. When submitting refiles, the customer agency must ensure that the records being returned to the NARA records center for refiling remain in the same file folder that was previously recalled from the NARA records center. In these cases, the folder will already be annotated with sufficient information to perform the refile (see paragraph III B1d(4) above). If the records to be refilled have been placed in new folders, the customer agency must provide the NARA records center with sufficient information to perform the refile. At a minimum, this will include the accession number, box number, NARA records center location number, and folder name or number.

(2) The term “refile” is also commonly used as a noun to describe a folder that had previously been recalled from an accession in NARA records center holdings, but is currently in the process of being placed back into its original place within an accession.

Routine Reference: The process of receiving (from the customer agency) requests for records, searching for the requested items, pulling the requested items, replacing the items with a charge-out document, and shipping the requested items back to the customer agency. In instances where the requested item is not found, the process also encompasses responding to the customer agency with an explanation and working with the customer agency to take corrective action.

Standard Form 135: The form used to initiate and document the transfer of records to a NARA records center. The form is submitted to a NARA records center prior to the shipment of records. NARA records center staff review the form and return it to the customer with an accession number assigned to it or other indication of approval to ship the records. The customer agency may maintain a detailed box listing or other index to records which have been retired to a NARA records center. These box listings and indexes are not a part of the SF 135, and NARA does not require its customer agencies to submit these attachments (except when the records are permanent or unscheduled) when requesting to transfer records to NARA records center storage. As an additional service to its customer agencies, however, NARA encourages its customer agencies to include these materials in the first box of the accession to which they pertain. This enables customer agencies to reference an off-site backup copy should the original listing be misplaced.

Permanent Records Transfer:	The process of transferring scheduled permanent records from the legal custody of the customer agency to the National Archives of the United States. The process includes all operations involved in verifying disposition authorities, calculating transfer dates, and notifying the customer agency in advance. Administrative functions include maintaining required statistical data including a computerized history report documenting all transfer activity at the accession level, the physical removal of records from NARA records center shelves, and the shipment of records to the archival facility.
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Unscheduled Records:	Agency records which lack a disposition authority.
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Attachment B - Geographic Areas Served by Each NARA Records Center
(The current address for each facility can be found on the following page.)

STATE	NARA RECORDS CENTER	STATE	NARA RECORDS CENTER
Alabama	NARA Records Center - East Point	Montana	NARA Records Center - Denver
Alaska	NARA Records Center - Anchorage (pre-archival records) Seattle(all other)	Nebraska	NARA Records Center - Kansas City
Arizona	NARA Records Center - Laguna Niguel	Nevada (Except Clark County)	NARA Records Center - San Bruno
		Nevada (Clark County)	NARA Records Center - Laguna Niguel
Arkansas	NARA Records Center - Fort Worth	New Hampshire	NARA Records Center - Waltham
California (Northern)	NARA Records Center - San Bruno	New Jersey	NARA Records Center - Kansas City
California (Southern)	NARA Records Center - Laguna Niguel		
Colorado	NARA Records Center - Denver	New Mexico	NARA Records Center - Denver
Connecticut	NARA Records Center - Waltham	New York	NARA Records Center - Kansas City
Delaware	NARA Records Center - Philadelphia	North Carolina	NARA Records Center - East Point
District of Columbia	Washington National Records Center	North Dakota	NARA Records Center - Denver
Florida	NARA Records Center - East Point	Ohio	District Court records are retired to the NARA Records Center - Chicago. All other materials are retired to the NARA Records Center - Dayton.
Georgia	NARA Records Center - East Point	Oklahoma	NARA Records Center - Fort Worth
Hawaii & Pacific Ocean Area	NARA Records Center - San Bruno US Courts (RG21), DOJ (RGs 60, 85, 118,170, etc., Government of American Samoa (RG 284)	Oregon	NARA Records Center - Seattle
Hawaii & Pacific Ocean Area	NARA Records Center - Seattle All other agencies.	Pennsylvania	NARA Records Center - Philadelphia
Idaho	NARA Records Center - Seattle	Puerto Rico	NARA Records Center - Lees Summit
Illinois	NARA Records Center - Chicago	Rhode Island	NARA Records Center - Waltham
Indiana	District Court and Bankruptcy Court records are retired to the NARA Records Center - Chicago. All other materials are retired to the NARA Records Center - Dayton.	South Carolina	NARA Records Center - East Point
Iowa	NARA Records Center - Kansas City	South Dakota	NARA Records Center - Denver
Kansas	NARA Records Center - Kansas City	Tennessee	NARA Records Center - East Point
Kentucky	NARA Records Center - East Point	Texas	NARA Records Center - Fort Worth
Louisiana	NARA Records Center - Fort Worth	Utah	NARA Records Center - Denver

STATE	NARA RECORDS CENTER	STATE	NARA RECORDS CENTER
Maine	NARA Records Center - Waltham	Vermont	NARA Records Center - Waltham
Maryland	District and Bankruptcy Court records are retired to the NARA Records Center - Philadelphia. All other materials to the Washington National Records Center.	Virginia	District and Bankruptcy Court records are retired to the NARA Records Center - Philadelphia. All other materials to the Washington National Records Center.
Massachusetts	NARA Records Center - Waltham	Virgin Islands	NARA Records Center - Lee's Summit
Michigan	District Court and Bankruptcy Court records are retired to the NARA Records Center - Chicago. All other materials are retired to the NARA Records Center - Dayton.	Washington	NARA Records Center - Seattle
Minnesota	NARA Records Center - Chicago	West Virginia	District and Bankruptcy Court records are retired to the NARA Records Center - Philadelphia. All other materials to the Washington National Records Center.
Mississippi	NARA Records Center - East Point	Wisconsin	NARA Records Center - Chicago
Missouri	NARA Records Center - Kansas City	Wyoming	NARA Records Center - Denver

NARA Facility	Regional Administrator	Director, Records Center Operations	Fax Number
NARA Records Center - Chicago Office of Regional Records Services Great Lakes Region (Chicago) 7358 Pulaski Road Chicago, IL 60629	David Kuehl (773) 581-9688 david.kuehl@chicago.nara.gov	Pamela Wegner (773) 581-7816 pamela.wegner@chicago.nara.gov	(773) 767-8860
NARA Records Center - Dayton Office of Regional Records Services Great Lakes Region (Dayton) 3150 Springboro Road, Bldg 4 Dayton, OH 45439	David Kuehl (773) 581-96880 david.kuehl@chicago.nara.gov	David Cornelisse (937) 225-2878 david.cornelisse@dayton.nara.gov	(937) 225-7236
NARA Records Center - Denver Office of Regional Records Services Rocky Mountain Region (Denver) Building 48, Denver Federal Center P.O. Box 25307 Denver, CO 80225	Barbara Voss (303) 236-0804 barbara.voss@denver.nara.gov	Genola Riley (303) 236-0827 genola.riley@denver.nara.gov	(303) 236-9297
NARA Records Center - East Point Office of Regional Records Services Southeast Region (Atlanta) 1557 St. Joseph Avenue East Point, GA 30344	James McSweeney (404) 763-7438 james.mcsweeney@atlanta.nara.gov	Gina Williams (404) 763-7063 gina.williams@atlanta.nara.gov	(404) 763-7059
NARA Records Center - Fort Worth Office of Regional Records Services Southwest Region (Fort Worth) 501 West Felix Street, Building 1 P.O. Box 6216 Fort Worth, TX 76115	Kent Carter (817) 334-5736 kent.carter@ftworth.nara.gov	Lenoard Harmon (817) 334-5515 lenoard.harmon@ftworth.nara.gov	(817) 334-5511
NARA Records Center - Kansas City Office of Regional Records Services Central Plains Region (Kansas City) 2312 East Bannister Road Kansas City, MO 64131-3011	Reed Whitaker (816) 926-6920 reed.whitaker@kansascity.nara.gov	Linda Stubbs (816) 926-6920 linda.stubbs@kansascity.nara.gov	(816) 926-6982

NARA Facility	Regional Administrator	Director, Records Center Operations	Fax Number
Office of Regional Records Services Central Plains Region (Kansas City) Lee s Summit Facility 5351 Lee s Summit Road Lee s Summit, MO 64064	Reed Whitaker (816) 926-6920 reed.whitaker@kansascity.nara.gov	Dean Donovan (816) 478-7079 dean.donovan@kccave.nara.gov	(816) 478-7623
NARA Records Center - Laguna Niguel Office of Regional Records Services Pacific Region (Laguna Niguel) 24000 Avila Road 1st Floor East Entrance Laguna Niguel, CA 92607-6719	Sharon Roadway (650) 876-9249 sharon.roadway@sanbruno.nara.gov	Bruce MacVicar (949) 360-6334 bruce.macvicar@laguna.nara.gov	(949) 360-2624
NARA Records Center - Philadelphia Office of Regional Records Services Mid-Atlantic Region (Philadelphia - Townsend) 14700 Townsend Road Philadelphia, PA 19154	Thomas Mills (215) 671-8005 thomas.mills@phifrc.nara.gov	David Roland (215) 671-1175 david.roland@phifrc.nara.gov	(215) 671-0273
NARA Records Center - Pittsfield Office of Regional Records Services Northeast Region (Pittsfield) 10 Conte Drive Pittsfield, MA 01201	Diane LeBlanc (781) 647-8745 diane.leblanc@waltham.nara.gov	Edmund Kelly (413) 445-6885 x15 edmund.kelly@pittsfield.nara.gov	(413) 445-7305
NARA Records Center - San Bruno Office of Regional Records Services Pacific Region (San Francisco) 1000 Commodore Avenue San Bruno, CA 94066	Sharon Roadway (650) 876-9249 sharon.roadway@sanbruno.nara.gov	Gary Cramer (650) 876-7912 gary.cramer@sanbruno.nara.gov	(650) 876-0920
NARA Records Center - Seattle Office of Regional Records Services Pacific Alaska Region (Seattle) 6125 Sand Point Way N.E. Seattle, WA 98115	Steven Edwards (206) 526-6501 steven.edwards@seattle.nara.gov	Steve Ourada (206) 526-6501 steve.ourada@seattle.nara.gov	(206) 526-6575
NARA Records Center - Waltham Office of Regional Records Services Northeast Region (Boston) 380 Trapelo Road Waltham, MA 02154	Diane LeBlanc (781) 647-8745 diane.leblanc@waltham.nara.gov	Paul J. Palermo (781) 647-8108 paul.palermo@waltham.nara.gov	(781) 647-8112
National Personnel Records Center 9700 Page Avenue St. Louis, MO 63132-5100 National Personnel Records Center Military Personnel Records 9700 Page Avenue St. Louis, MO 63132-5100 National Personnel Records Center Civilian Personnel Records 111 Winnebago Street St. Louis, MO 63118-4199	David Petree Director National Personnel Records Center (314) 538-4201 Cliff Amsler Assistant Director for Military Personnel Records (314) 538-4247 Paul Gray Assistant Director for Civilian Personnel Records (314) 425-5722	Civilian Operations Branch John Gerfen (314) 425-5725 Reference Service Branch William Bassman (314) 425-5751 Air Force Reference Branch Marcia Haley (314) 538-4282 Army Reference Branch Virginia Barrett (314) 538-4157 Navy Reference Branch Chip Rootz (314) 538-4186 Military Operations Branch	(314) 538-4005

NARA Facility	Regional Administrator	Director, Records Center Operations	Fax Number
		John Carver (314) 538-4248 Records Reconstruction Branch Thelma Martin (314) 538-4233	
Washington National Records Center 4205 Suitland Road Suitland, MD20746-8001	Alan Kramer Director Washington National Records Center (301) 457-7000 alan.kramer@suitland.nara.gov	Leanne Townsend (301) 457-7010 leanne.townsend@suitland.nara.gov	(301) 457-7117